

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NO.

890050.526USPC

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/534,181

INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED
PCT/JP03/14076	November 4, 2003	November 8, 2002

**TITLE OF INVENTION****AN OPTICAL MODULE AND A METHOD FOR FABRICATING THE SAME****APPLICANT(S) FOR DO/EO/US****Adrian Wing Fai Lo; Kenjiro Hata; Tohru Kineri; and Naoki Hanashima**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1.  This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2.  This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3.  This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4.  The US has been elected (Article 31).
5.  A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a.  is attached hereto (required only if not communicated by the International Bureau).
  - b.  has been communicated by the International Bureau.
  - c.  is not required, as the application was filed in the United States Receiving Office (RO/US).
6.  An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a.  is attached hereto.
  - b.  has been previously submitted under 35 U.S.C. 154(d)(4).
7.  Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a.  are attached hereto (required only if not communicated by the International Bureau).
  - b.  have been communicated by the International Bureau.
  - c.  have not been made; however, the time limit for making such amendments has NOT expired.
  - d.  have not been made and will not be made.
8.  An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9.  An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10.  An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 to 20 below concern document(s) or information included:**

11.  An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12.  An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13.  A preliminary amendment.
14.  An Application Data Sheet under 37 CFR 1.76
15.  A substitute specification.
16.  A power of attorney and/or change of address letter.
17.  A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825.
18.  A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19.  A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20.  Other items or information: **Copy of Notification of Missing Requirements (PCT/DO/EO/905)**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>10/534,181</b>		INTERNATIONAL APPLICATION NO. <b>PCT/JP03/14076</b>	ATTORNEY'S DOCKET NUMBER <b>890050.526USPC</b>	
The following fees are submitted				
21. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a))		\$300.00		\$ .00
22. <input type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)		\$ 0.00		
All other situations		\$200.00		\$ .00
23. <input type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the international preliminary examination report prepared by the IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)		\$ 0.00		
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority		\$100.00		
International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB		\$400.00		
All other situations		\$500.00		\$ .00
<b>TOTAL OF 21, 22 AND 23 =</b>				\$ .00
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.				
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE	
- 100 =	/50 =		X \$250.00	
			\$ .00	
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).			\$ .00	
Claims	Number Filed	Number Extra	Rate	
Total Claims	- 20 =		x \$ 50.00	
Independent Claims	- 3 =		x \$ 200.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>			\$ .00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.			\$ .00	
<b>SUBTOTAL =</b>			\$ .00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).			+ \$ .00	
<b>TOTAL NATIONAL FEE =</b>			\$ .00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property			+ \$ .00	
<b>TOTAL FEES ENCLOSED =</b>			\$ .00	
			Amount to be refunded:	
			Amount to be Charged:	

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<p>a. <input type="checkbox"/> A check in the amount of \$____ to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. <b>19-1090</b> in the amount of \$____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge <b>any deficiency in the basic national fee</b> which may be required, or credit any overpayment to Deposit Account No. <b>19-1090</b>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING: Information on this form may become public. Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.</p>		
<p><b>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.</b></p>		
<p>SEND ALL CORRESPONDENCE TO:</p> <p><b>David V. Carlson</b> Seed Intellectual Property Law Group PLLC 701 5<sup>th</sup> Avenue, Suite 6300 Seattle, WA 98104-7092 United States of America (206) 622-4900</p> <p> SIGNATURE</p> <p><b>David V. Carlson</b> NAME</p> <p><b>31,153</b> REGISTRATION NUMBER</p>		



## UNITED STATES PATENT AND TRADEMARK OFFICE

EXPRESS MAIL NO. EV529786715US

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/534,181	Adrian Wing Fai Lo	890050.526USPC
INTERNATIONAL APPLICATION NO.		
PCT/JP03/14076		
I.A. FILING DATE		PRIORITY DATE
11/04/2003		11/08/2002
CONFIRMATION NO. 5317		
371 FORMALITIES LETTER		
 *OC000000017529408*		

Date Mailed: 01/09/2006

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 05/06/2005
- English Translation of the IA filed on 05/06/2005
- Copy of the International Search Report filed on 05/06/2005
- Preliminary Amendments filed on 05/06/2005
- Information Disclosure Statements filed on 05/06/2005
- U.S. Basic National Fees filed on 05/06/2005
- Substitute Specification filed on 05/06/2005
- Priority Documents filed on 05/06/2005

RECEIVED

JAN 11 2006

Seed Intellectual Property  
Law Group PLLC

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5).

*A copy of this notice **MUST** be returned with the response.*

INDIA L EVANS

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Telephone: (703) 308-9140 EXT 212

**PART 1 - ATTORNEY/APPLICANT COPY**

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U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/534,181	PCT/JP03/14076	890050.526USPC

FORM PCT/DO/EO/905 (371 Formalities Notice)